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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicant : Stuart A. Fraser et al.
Application No.: 10/829,119 Confirmation No.: 6481
Filed : April 20, 2004
For : SYSTEMS AND METHODS FOR TRADING
Group Art Unit : 3624

New York, New York
July 22, 2004

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

TRANSMITTAL LETTER FOR
INFORMATION DISCLOSURE STATEMENT

Sir:

Transmitted herewith is an Information Disclosure Statement in the above-identified application. This Statement is submitted:

- ☐ within three months of the application filing date;
- ☒ more than three months from the application filing date but before the mailing date of the first Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of this Statement requires no fee. However, if for any reason a fee is due, the Director is hereby authorized to charge payment of any fees required in connection with this

The PTO did not receive the following
listed items(s)

Document # EP 120 6472 A2

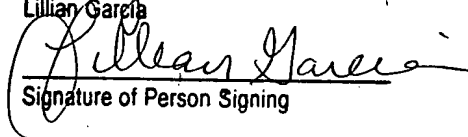
Information Disclosure Statement to Deposit Account
No. 06-1075. A duplicate copy of this letter is transmitted
herewith.

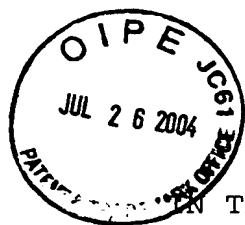
Respectfully submitted,



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July 22, 2004
Lillian Garcia

Signature of Person Signing



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INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.56, 1.97, and 1.98
applicants hereby make the following references of record in
the above-identified patent application:

U.S. Patent Documents

Nymeyer	3,581,072	(05/25/71)
Sibley, Jr.	4,677,552	(06/30/87)
Kramer	5,038,284	(08/06/91)
Silverman et al.	5,077,665	(12/31/91)
Wiseman	5,168,446	(12/01/92)
Trojan et al.	5,297,032	(03/22/94)
Fisher et al.	5,835,896	(11/10/98)
Fraser et al.	5,905,974	(05/18/99)
Ausubel	5,905,975	(05/18/99)
Silverman et al.	5,924,082	(07/13/99)
Conklin et al.	6,141,653	(10/31/00)
May	6,317,727 B1	(11/13/01)
Kou	6,363,365 B1	(03/26/02)
Wilton et al.	6,519,574 B1	(02/11/03)

Foreign Patent Documents

WO 00/26745	PCT	(05/11/00)
EP 1006472 A2	EPO	(06/07/00)

The aforementioned references are listed on the accompanying Form PTO-1449 (submitted in duplicate). These references, with the exception of U.S. Patent 5,905,974, were previously cited by the Patent Office or submitted to the Patent Office in parent patent application No. 09/553,423, filed April 19, 2000 (CF/002). However, PCT publication WO 00/26745 was previously cited in the parent application incorrectly as WO 00/36745. Accordingly, copies of U.S. Patent 5,905,974 and PCT publication WO 00/26745 are enclosed herewith. Pursuant to 37 C.F.R. § 1.98(d), no copies of the other presently cited references accompany this Information Disclosure Statement.

Consideration of the foregoing in relation to this patent application is respectfully requested.

Respectfully submitted,



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FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
CF/002 CONAPPLICATION NO.
10/829,119

INFORMATION DISCLOSURE STATEMENT BY APPLICANTS

APPLICANTS
Stuart A. Fraser et al.CONFIRMATION
6481FILING DATE
04/20/04GROUP ART UNIT
3624

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	3,581,072	05/25/71	Nymeyer	235	152	
	4,677,552	06/30/87	Sibley, Jr.	364	408	
	5,038,284	08/06/91	Kramer	364	408	
	5,077,665	12/31/91	Silverman et al.	364	408	
	5,168,446	12/01/92	Wiseman	364	408	
	5,297,032	03/22/94	Trojan et al.	364	408	
	5,835,896	11/10/98	Fisher et al.	705	37	
	5,905,974	05/18/99	Fraser et al.	705	37	
	5,905,975	05/18/99	Ausubel	705	37	
	5,924,082	07/13/99	Silverman et al.	705	37	
	6,141,653	10/31/00	Conklin et al.	705	80	
	6,317,727 B1	11/13/01	May	705	37	
	6,363,365 B1	03/26/02	Kou	705	64	
	6,519,574 B1	02/11/03	Wilton et al.	705	35	

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	WO 00/26745	05/11/00	PCT	G06F17	60		
	EP 1006472 A2	06/07/00	EPO	G06F17	60		

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicants.